

# APPLICATION FOR RECORDS RETENTION SCHEDULE

GEORGIA DEPARTMENT OF HUMAN RESOURCES  
OFFICE OF ADMINISTRATIVE SERVICES  
RECORDS MANAGEMENT UNIT

For instructions on completing this form contact DHR Records Management Unit, 47 Trinity Avenue, Atlanta, Georgia 30334. Phone - (404) 656-4976 GIST: 221-4983

<b>DHR</b>		<b>1. GEORGIA DEPARTMENT OF HUMAN RESOURCES</b>		<b>ARCHIVES AND HISTORY</b>	
Application Date May 2, 1979		Office of the Commissioner Office of Audits 1256 Briarcliff Road, N. E. Atlanta, Georgia 30306		Application Number	
Application Number DHR 79-11 through 79-17				Date Received MAY 7 1979	
				Date Completed JUL 5 1979	
2. Person to Contact David G. Price <i>officer</i>		Working Title Director, Office of Audits		Telephone Number 894- <sup>3900</sup> 5695	
3. Action Requested * (x) Rescind Appl. No. 301 (x) Transfer to Dept of Medical Assistance 74-396					
a. <input type="checkbox"/> Establish Retention Schedule; record will continue to accumulate. *no longer done					
b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated. *74-395 - *74-398 - *74-399 - 74-416 - 77-401					
c. <input checked="" type="checkbox"/> Amend Application No. 54 schedules Check One: <input type="checkbox"/> Change; <input checked="" type="checkbox"/> Supercode; <input type="checkbox"/> Void to make changes in					
4. Dates of Series		5. Records Series Title (followed by title used in office; if different)		wording and to lengthen retention period	
Earliest 1968	Latest to present	see attached listing		* DHR State-wide application	
6. Division and Office Function What is the function of the Division and the Office in which this record series is created?					
<p>The Department of Human Resources, through the leadership of the Commissioner, is responsible for planning, organizing, directing, coordinating, and controlling the delivery of services to residents of Georgia. Included are: diagnosis and treatment of mental disorders; control of physical health programs; administration of public assistance programs; Federal Food Programs; administration of programs which enable the non-productive members of society (blind, physically and mentally handicapped) to function as productive members of society; administration of programs for the elderly; evaluation of programs of the Department, and suggesting improvements in these programs; and support services.</p> <p>The Office of Audits has the responsibility to determine whether all funds due the Department are properly accounted for and are expended according to the requirements of the law and policies, procedures and regulations applicable thereto. Also, to help Management improve the efficiency, economy, and effectiveness of operations by identifying where improvements are needed.</p>					
7. Records Series Description This file contains the following documents (include form numbers and titles, if any): Attach samples of the file.					
Documents relating to:  see attached listing					
Included are:					
The file is arranged :					
8. Monthly Reference Rate How often are records referred to which are:					
One to six months old _____ ; Seven to twelve months old _____ ; Thirteen to twenty-four months old _____ ; twenty-five months and older _____ ?					
9. Annual Rate of Accumulation or Records					
Letter-size drawers _____ ; Legal-size drawers _____ ; Shelves _____ ; Other (Specify) _____					

YES	NO	10. Questionnaire (Place an "X" in the proper column)
X		a. Is this the official copy of the series? If not, where is it?
X		b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation. DHR Procedure IV-H - Administrative Procedures Manual
	X	c. Is this a vital record?
	X	d. Does this series have historical or long term research value?
	X	e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
	X	f. Is the information contained in this series ever published? If yes, attach copy.
	X	g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy.
	X	h. Is there a duplication of this series in your office, or in another office or agency? If yes, where?
	X	i. Is this series (or a major portion of it) regularly microfilmed?
	X	j. Does the record series result in a computer printout?

#### 11. Retention Requirements

The following requires the series to be kept:

- |                          |              |                                   |                |
|--------------------------|--------------|-----------------------------------|----------------|
| a. State Law             | _____ years. | d. Audit period                   | _____ years.   |
| b. Statute of limitation | _____ years. | e. Administrative need            | 5 _____ years. |
| c. Federal law           | _____ years. | f. Federal retention instructions | _____ years.   |

Attach copy or excerpt of laws or regulations. Explain administrative need.

#### 12. Approved Disposition Instructions

This agency recommends that the file series be cut off at the end of each:

☐ Calendar Year; ☐ Fiscal Year; ☐ Other \_\_\_\_\_ then,

- ☐ Hold in the current files area \_\_\_\_\_ month(s) \_\_\_\_\_ year(s); then
- ☐ Transfer to local holding area; hold \_\_\_\_\_ year(s); then
- ☐ Transfer to State Records Center; hold \_\_\_\_\_ year(s); then
- ☐ Destroy
- ☐ Transfer to State Archives for permanent retention.
- ☐ Other (Specify)

These instructions apply to all prior and future accumulations of the series.

Agency Head/Designee (Signature)	Date	Records Management Officer (Signature)	Date
<i>David L. Price</i>	5/1/79	<i>Elizabeth W. Crank</i>	4/30/79
		Elizabeth W. Crank C.R.M. State Records Committee (Signature)	Date
Recommendations in paragraph 12 are approved. (If disapproved, attach letter of explanation.)	State Auditor/Designee	<i>[Signature]</i>	7-3-79
	Secretary of State/Designee	<i>Carroll Hart</i>	6-29-79
	Attorney General/Designee	<i>[Signature]</i>	7-3-79

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CONTRACT AUDIT SECTION

TO AMEND

<u>Appl. No.</u>	<u>Description</u>	<u>Disposition</u>
74-395-A	<p><i>and</i></p> <p>FAMILY AND CHILDREN SERVICES COUNTY AND FOOD STAMP AUDIT REPORT FILES - Documents relating to auditing State-allocated funds expended by Family and Children Services County Food Stamp Programs. Included, but not limited to, are: Statement of Revenue Expenses, and Budget comparison; Analysis of State and Federal Receipts; Schedules of Accounts Receivable, Encumbrances, Prepaid Expenses, Equipment Purchases, Accounts Payable; auditor's transmittal letter summarizing audit results, revenue and expenditure statement, statement of administrative expenses, adjusting entries, bank reconciliations; and supporting papers. The file is arranged chronologically by fiscal year; thereunder, alphabetically by county; thereunder, by DHR Division; thereunder, by program.</p>	<p>Cut off file as follows:</p> <p>Office of Audits <u>(Record Copy)</u></p> <p>Upon determination that all audit questions have been resolved, place all pertinent papers for a particular audit in the inactive file; cut off inactive file at end of each fiscal year; hold in current files area 2 years; transfer to State Records Center; hold 3 years; then destroy.</p> <p>DHR Offices/ Divisions/ Sections/ Units <u>(Reference Copy of Audit)</u></p> <p>Upon determination that all audit questions have been resolved, place all reference papers for audit in the inactive file; cut off inactive file at end of each fiscal year; hold 2 years; then destroy.</p> <p>Earlier destruction of audit reference papers is authorized.</p>
74-398-A	<p><i>ja</i></p> <p>COUNTY HEALTH DEPARTMENT, HEALTH DISTRICT, AND MENTAL HEALTH CATCHMENT AREA REPORT FILES - Documents relating to auditing State-allocated funds expended by County Health Departments, Health Dis-</p>	<p>Cut Off file as follows:</p> <p>Office of Audits <u>(Record Copy)</u></p> <p>Upon determination that all audit questions have been</p>

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CONTRACT AUDIT SECTION

TO AMEND

<u>Appl. No.</u>	<u>Description</u>	<u>Disposition</u>
74-398-A (cont.)	<p>tricts, and Mental Health Catchment areas. Included, but not limited to, are: Statement of Revenue, Expenses, and Budget Comparison; Analysis of State and County Receipts; Schedules of Accounts Receivable, Encumbrances, Prepaid Expenses, Equipment Purchases, Accounts Payable; auditor's transmittal letter summarizing audit results, revenue and expenditure statement, adjusting entries, bank reconciliations; and supporting papers. The file is arranged chronologically by fiscal year; thereunder, alphabetically by county; thereunder, by District; thereunder, by Catchment Area.</p>	<p>Cut off file as follows:</p> <p>Office of Audits <u>(Record Copy)</u></p> <p>Upon determination that all audit questions have been resolved, place all pertinent papers for a particular audit in the inactive file; cut off inactive file at end of each fiscal year; hold in current files area 2 years; transfer to State Records Center; hold 3 years; then destroy.</p> <p>DHR Offices/ Divisions/ Sections/ Units <u>(Reference Copy of Audit)</u></p> <p>Upon determination that all audit questions have been resolved, place all reference papers for audit in the inactive file; cut off inactive file at end of each fiscal year; hold 2 years; then destroy.</p> <p>Earlier destruction of audit reference papers is authorized.</p>
74-399-A	<p>CONTRACT AUDIT REPORT FILES <i>RES</i> (Titles III, IV-A, IV-D, V, VI, VII, XVI, XX) - Documents relating to auditing contract programs which may include day care centers, mental retardation centers, child support recovery programs, aging programs, and any other patient-client related</p>	<p>Cut off file as follows:</p> <p>Office of Audits <u>(Record Copy)</u></p> <p>Upon determination that all audit questions have been resolved, place all pertinent papers for a particular</p>

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CONTRACT AUDIT SECTIONTO AMEND

<u>Appl. No.</u>	<u>Description</u>	<u>Disposition</u>
74-399-A (cont.)	vendors funded through Titles III, IV-A, IV-D, V, VI, VII, XVI, and XX. Included, but not limited to, are: State-ment of Revenue, Expenses, and Budget Comparison; Analysis of State and Federal Receipts; Schedules of Accounts Receiv-able, Encumbrances, Prepaid Expenses, Equipment Purchases, Accounts Payable; auditor's transmittal letter summariz-ing audit results, revenue and expenditure statement, state-ment of administrative ex-penses, adjusting entries, bank reconciliations; and support-ing papers. The file is ar-ranged alphabetically by agency, thereunder, alphabetically by program, thereunder chronologically by fiscal year/period.	<p>audit in the inactive file; cut off inactive file at end of each fiscal year; hold in current files area 2 years; transfer to State Records Center; hold 3 years; then destroy.</p> <p>DHR Offices/ Divisions/ Sections/ Units <u>(Reference Copy of Audit)</u></p> <p>Upon determination that all audit questions have been resolved, place all reference papers for audit in the in- active file; cut off inac- tive file at end of each fiscal year; hold 2 years; then destroy.</p> <p>Earlier destruction of audit reference papers is authorized.</p>

OPERATIONAL AUDIT SECTIONTO AMEND

<u>Appl. No.</u>	<u>Description</u>	<u>Disposition</u>
77-401-A	OPERATIONAL AUDIT FILES - Documents relating to conducting operational audits, other examinations of DHR units, special projects and investigations. Included are: questionnaires regarding personnel, office layout, forms, budget and accounting, equipment maintenance, buildings and grounds, purchasing, asset inventory, and correspondence. Also included are evaluation of findings (usually in narrative form) and recommendations for improvement in the various areas of audited operations. The file is arranged: alphabetically by name of organization (Office/ Section/ Unit); thereunder, by activity or project.	<p>Cut off file as follows:</p> <p>Office of Audits (Record Copy)</p> <p>Upon determination that all audit questions have been resolved, place all pertinent papers for a particular audit in the inactive file; cut off the inactive file at end of each fiscal year; hold in current files area 2 years; transfer to State Records Center; hold 3 years; then destroy.</p> <p>DHR Offices/ Divisions/ Sections/ Units (Reference Copy of Audit)</p> <p>Upon determination that all audit questions have been resolved, place all reference papers for audit in the inactive file; cut off inactive file at end of each fiscal year; hold 2 years; then destroy.</p> <p>Earlier destruction of audit reference papers is authorized.</p>

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INTERNAL AUDIT SECTION

TO AMEND

<u>Appl. No.</u>	<u>Description</u>	<u>Disposition</u>
74-416-A	INTERNAL AUDIT REPORT FILES - Documents relating to auditing State-allocated funds expended by State residential institutions, District Offices, and local offices throughout Georgia. Included, but not limited to, are: auditor's transmittal letter summarizing results of audit, revenue and expenditure statement, statement of private funds, adjusting entries, bank reconciliations, supporting documents, work papers, and quarterly computer printout. The file is arranged by fiscal year; thereunder, alphabetically by city; thereunder, by program.	<p>Cut off file as follows:</p> <p>Office of Audits <u>(Record Copy)</u></p> <p>Upon determination that all audit questions have been resolved, place all pertinent papers for a particular audit in the inactive file; cut off inactive file at end of each fiscal year; hold in current files area 2 years; transfer to State Records Center; hold 3 years; then destroy.</p> <p>DHR Offices/ Divisions/ Sections/ Units <u>(Reference Copy of Audit)</u></p> <p>Upon determination that all audit questions have been resolved, place all reference papers for audit in the inactive file; cut off inactive file at end of each fiscal year; hold 2 years; then destroy.</p> <p>Earlier destruction of audit reference papers is authorized.</p>